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1746

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Patel et al.

Group Art Unit: 1746

Serial No.: 10/060,109

Examiner: To be assigned

Filed: January 28, 2002

Attorney Docket No.: 8317-0129-999

Entitled: METHODS AND COMPOSITIONS
FOR CHEMICALLY TREATING A
SUBSTRATE USING FOAM
TECHNOLOGY

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MAY 24 2002

TC 1700

TRANSMITTAL OF POWER OF ATTORNEY BY ASSIGNEE

Assistant Commissioner for Patents
Washington D.C. 20231

Sir:

Applicants' attorney submits herewith a Power of Attorney by Assignee to be filed in the above-identified patent application. An Assignment for this application is concurrently being submitted to the Assignment Branch for recordation. A copy of the Recordation Form Cover Sheet and Assignment are attached hereto. Applicants' attorney requests that the Power of Attorney be accepted.

The Commissioner is authorized to charge any fees associated with this communication to Pennie & Edmonds' deposit account number 16-1150 (order no. 8317-0129-999). A copy of this sheet is enclosed for such purpose.

Respectfully submitted,

Date 21 May 2002

Richard G.A. Bone, Ph.D.
Limited Recognition Under 37 C.F.R. § 10.9(b)
(Copy of Certificate Enclosed)

for

Victor N. Balancia (Reg. No. 31,231)
PENNIE & EDMONDS LLP
1155 Avenue of the Americas
New York, N.Y. 10036-2711
(212) 790-9090



05-23-02

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: PATEL et al.

Application No.: 10/060,109

Group Art Unit: 1746

Filed: January 28, 2002

Examiner: Not yet assigned

For: METHODS AND COMPOSITIONS FOR
CHEMICALLY TREATING A
SUBSTRATE USING FOAM
TECHNOLOGY

Attorney Docket No.: 8317-0129-999

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

BOX: MISSING PARTS

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to the Notice to File Missing Parts of Non-Provisional Application Under 37 C.F.R. § 1.53(b), mailed March 21, 2002 in connection with the above-identified application, Applicants submit the following documents:

- 1) Declaration for Non-Provisional Patent Application, signed by the inventors in compliance with 37 CFR § 1.63;
- 2) Substitute Formal Drawings (9 sheets); and
- 3) Return copy of Notice to File Missing Parts of Application

The U.S. Patent and Trademark Office is hereby authorized to charge the Surcharge Fee of \$130.00 to Pennie & Edmonds LLP Deposit Account No. 16-1150.

The Commissioner is hereby authorized to charge any additional fees associated with this paper communication or credit any overpayment to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed for accounting purposes.

Respectfully submitted,

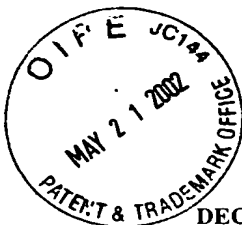
Date

21 May 2002

Richard G.A. Bone

Richard G.A. Bone, Ph.D.
Limited Recognition Under 37 C.F.R. § 10.9(b)
(Copy of Certificate Enclosed)
for Victor N. Balancia (Reg. No. 31,231)
PENNIE & EDMONDS LLP
1155 Avenue of the Americas
New York, N.Y. 10036-2711
(212) 790-9090

Enclosures



DECLARATION FOR NON-PROVISIONAL PATENT APPLICATION*

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below at 201 et seq. beneath my name.

I believe I am the original, first and sole inventor if only one name is listed at 201 below, or an original, first and joint inventor if plural names are listed at 201 et seq. below, of the subject matter which is claimed and for which a patent is sought on the invention entitled

METHODS AND COMPOSITIONS FOR CHEMICALLY TREATING A SUBSTRATE USING FOAM TECHNOLOGY

and for which a patent application:

☐ is attached hereto and includes amendment(s) filed on (if applicable)

☒ was filed in the United States on January 28, 2002 as Application No. [to be assigned] (identified by Attorney Docket No. 8317-0129-999)

☐ was filed as PCT international Application No. on and was amended under PCT Article 19 on (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified application, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

EARLIEST FOREIGN APPLICATION(S), IF ANY, FILED PRIOR TO THE FILING DATE OF THE APPLICATION			
APPLICATION NUMBER	COUNTRY	DATE OF FILING (day, month, year)	PRIORITY CLAIMED
			YES <input type="checkbox"/> NO <input type="checkbox"/>
			YES <input type="checkbox"/> NO <input type="checkbox"/>
			YES <input type="checkbox"/> NO <input type="checkbox"/>

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below.

PROVISIONAL APPLICATION NUMBER	FILING DATE

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information known to me which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

NON-PROVISIONAL APPLICATION SERIAL NO.	FILING DATE	STATUS		
		PATENTED	PENDING	ABANDONED

* for use only when the application is assigned to a company, partnership or other organization.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

201	FULL NAME OF INVENTOR	LAST NAME Patel	FIRST NAME Bakul	MIDDLE NAME P.
	RESIDENCE & CITIZENSHIP	CITY Pleasanton	STATE OR FOREIGN COUNTRY CA	COUNTRY OF CITIZENSHIP United States of America
	POST OFFICE ADDRESS	STREET 2773 Glen Isle Court	CITY Pleasanton	STATE OR COUNTRY CA ZIP CODE 94588
	SIGNATURE OF INVENTOR 201 <i>Bakul P. Patel</i>			DATE 2/5/02
202	FULL NAME OF INVENTOR	LAST NAME Cernat	FIRST NAME Mihaela	MIDDLE NAME ANCA - MAC
	RESIDENCE & CITIZENSHIP	CITY Brentwood	STATE OR FOREIGN COUNTRY CA	COUNTRY OF CITIZENSHIP United States of America
	POST OFFICE ADDRESS	STREET 1243 Comice Parkway	CITY Brentwood	STATE OR COUNTRY CA ZIP CODE 94513
	SIGNATURE OF INVENTOR 202 <i>Mihaela Cernat</i>			DATE 02/05/2002
203	FULL NAME OF INVENTOR	LAST NAME Small	FIRST NAME Robert	MIDDLE NAME J.
	RESIDENCE & CITIZENSHIP	CITY Dublin	STATE OR FOREIGN COUNTRY CA	COUNTRY OF CITIZENSHIP United States of America
	POST OFFICE ADDRESS	STREET 11418 Rampart Drive	CITY Dublin	STATE OR COUNTRY CA ZIP CODE 94568
	SIGNATURE OF INVENTOR 203 <i>Robert J. Small</i>			DATE Feb 5, 2002
204	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	STREET	CITY	STATE OR COUNTRY ZIP CODE
	SIGNATURE OF INVENTOR 204			DATE
205	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	STREET	CITY	STATE OR COUNTRY ZIP CODE
	SIGNATURE OF INVENTOR 205			DATE



Express Mail No. _____

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Patel *et al.*

Serial No.: 10/060,109

Group Art Unit: To be assigned

Filed: January 28, 2002

Examiner: To be assigned

For: METHODS AND COMPOSITIONS FOR
CHEMICALLY TREATING A
SUBSTRATE USING FOAM
TECHNOLOGY

Attorney Docket No.: 8317-129-999

**DECLARATION OF BAKUL P. PATEL, ROBERT J. SMALL,
AND MIHAELA CERNAT UNDER 37 C.F.R. 1.132**

Assistant Commissioner for Patents
Washington, D.C. 20231

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MAY 24 2002
TC 1700

Sir:

We, Bakul P. Patel (a.k.a Bob Patel), Robert J. Small, and Mihaela Cernat of EKC Technology, Inc., assignee of the above-identified patent application, declare that:

1. We are the inventors of the above-identified patent application entitled, "Methods and Compositions for Chemically Treating a Substrate Using Foam Technology."
2. Exhibit A contains a former website posting entitled, "Photoresist Residue Removal Using Aqueous Foam Proof of Concept Experiments" and listing the authors as Paul A. Kittle of Aquafoam, Inc. and Robert J. Small, Mihaela Cernat, Bob Patel, and Becky Hon. Exhibit B contains a website posting entitled, "Foam Wafer Cleaning Experimental Proof of Concept" and listing the author as Paul A. Kittle of Aquafoam, Inc. Hereinafter, the postings presented in Exhibits A and B will be referred to as "the website postings."
3. On information and belief, the website postings were made available on the Aquafoam, Inc. website, www.aquafoam.com, on about July 31, 2001 and have since been removed.
4. The work described in the website postings was carried out by Bakul P. Patel, Robert J. Small, and Mihaela Cernat before the date of the website postings in the laboratories of EKC Technology, Inc., 2520 Barrington Ct.,

Hayward, CA 94545 and is also described in the above-identified U.S. patent application.

5. We declare further that all statements made in this Declaration are true to the best of our knowledge; that all statements made on information and belief are believed to be true; that these statements are made knowing that willful false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code; and, that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: 4/1/02

Bakul P. Patel
BAKUL P. PATEL

Date: 4/1/02

Robert J. Small
ROBERT J. SMALL

Date: 04/02/2002

Mihaela Cernat
MIHAELA CERNAT

1100150109 "052102



POWER OF ATTORNEY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Patel *et al.*

Application No.: To be Assigned

Group Art Unit: To be Assigned

Filed: January 28, 2002

Examiner: To be Assigned

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FOR CHEMICALLY TREATING A
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TECHNOLOGY

Attorney Docket No.: 8317-0129-999

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MAY 24 2002

**POWER OF ATTORNEY BY ASSIGNEE
AND EXCLUSION OF INVENTOR(S) UNDER 37 C.F.R. 3.71**

TC 1700

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The undersigned assignee of the entire interest in the above-identified subject application hereby appoints: Berj A. Terzian (Reg. No. 20060), David Weild, III (Reg. No. 21094), Jonathan A. Marshall (Reg. No. 24614), Barry D. Rein (Reg. No. 22411), Stanton T. Lawrence, III (Reg. No. 25736), Charles E. McKenney (Reg. No. 22795), Philip T. Shannon (Reg. No. 24278), Francis E. Morris (Reg. No. 24615), Charles E. Miller (Reg. No. 24576), Gidon D. Stern (Reg. No. 27469), John J. Lauter, Jr. (Reg. No. 27814), Brian M. Poissant (Reg. No. 28462), Brian D. Coggio (Reg. No. 27624), Rory J. Radding (Reg. No. 28749), Stephen J. Harbulak (Reg. No. 29166), Donald J. Goodell (Reg. No. 19766), Thomas E. Friebe (Reg. No. 29258), Laura A. Coruzzi (Reg. No. 30742), Jennifer Gordon (Reg. No. 30753), Geraldine F. Baldwin (Reg. No. 31232), Victor N. Balancia (Reg. No. 31231), Samuel B. Abrams (Reg. No. 30605), Steven I. Wallach (Reg. No. 35402), Marcia H. Sundeen (Reg. No. 30893), Paul J. Zegger (Reg. No. 33821), Edmond R. Bannon (Reg. No. 32110), Bruce J. Barker (Reg. No. 33291), Adriane M. Antler (Reg. No. 32605), Thomas G. Rowan (Reg. No. 34419), James G. Markey (Reg. No. 31636), Thomas D. Kohler (Reg. No. 32797), Scott D. Stimpson (Reg. No. 33607), Gary S. Williams (Reg. No. 31066), Ann L. Gisolfi (Reg. No. 31956), Todd A. Wagner (Reg. No. 35399), Scott B. Familant (Reg. No. 35514), Kelly D. Talcott (Reg. No. 39582), Francis D. Cerrito (Reg. No. 38100),

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Anthony M. Insogna (Reg. No. 35203), Brian M. Rothery (Reg. No. 35340), Brian D. Siff (Reg. No. 35679), Michael J. Lyons (Reg. No. 37386), Garland T. Stephens (Reg. No. 37242), William J. Sipio (Reg. No. 34514), Nikolaos C. George (Reg. No. 39201), Stephen S. Rabinowitz (Reg. No. 40286), Ognjan V. Shentov (Reg. No. 38051), and Kenneth L. Stein (Reg. No. 38704), all of Pennie & Edmonds LLP, whose addresses are 1155 Avenue of the Americas, New York, New York 10036, 1667 K Street N.W., Washington, DC 20006 and 3300 Hillview Avenue, Palo Alto, CA 94304, all of Pennie & Edmonds LLP (PTO Customer No. 24341), as its attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with the provisions of 37 C.F.R. 3.71, provided that, if any one of these attorneys ceases being affiliated with the law firm of Pennie & Edmonds LLP as partner, counsel, or employee, then the appointment of that attorney and all powers derived therefrom shall terminate on the date such attorney ceases being so affiliated.

An assignment of the entire interest in the above-identified subject application:

☐ was recorded on _____ at reel/frame ____/____.

☒ is submitted herewith for recording.

Please direct all correspondence for this application to customer no. 24341.

ASSIGNEE: EKC Technology, Inc.

Signature: _____

Typed Name: _____

Position/Title: _____

Address: _____

Hayward, California 94545

Date: _____

08 February 2012

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